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PTO/SB/05 (03-01)

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|   |           |             |    |
|---|-----------|-------------|----|
| Attorney Docket No.                                   | 10209-011 | Total Pages | 82 |
| <i>First Named Inventor or Application Identifier</i> |           |             |    |
| Waelbroeck et al.                                     |           |             |    |
| Express Mail Label No. EV335855706US                  |           |             |    |

**APPLICATION ELEMENTS**

See MPEP chapters 600 concerning utility patent application contents.

|  |  |
|--|--|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form<br/><i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims Small Entity status, see 37 C.F.R. § 1.27</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages 66]<br/><i>(preferred arrangement set forth below, MPEP 1503.01)</i></p> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R&amp;D</li> <li>- Reference to Microfiche Appendix</li> <li>- Back ground of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description of the Invention (including drawings, if filed)</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets 11]</p> <p>5. <input checked="" type="checkbox"/> Oath or Declaration (unexecuted) [Total Sheets 2]</p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><i>(for continuation/divisional with Box 18 completed)</i></li> <li>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li> </ul> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br/><i>(if applicable, all necessary)</i></p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. <input type="checkbox"/> Specification Sequence Listing on:           <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul> |
|--|--|

**ACCOMPANYING APPLICATION PARTS**

- 9.  Assignment Papers (cover sheet & document(s))
- 10.  37 CFR 3.73(b) Statement  
*(when there is an assignee)*  Power of Attorney
- 11.  English Translation Document (if applicable)
- 12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
- 13.  Preliminary Amendment
- 14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
- 15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
- 16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(i). Applicant must attach form PTO/SB/35 or its equivalent
- 17.  Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation-in-part (CIP)

This application is a continuation-in-part of U.S. patent application no. 09/870,845, filed May 31, 2001, which is a continuation-in-part of U.S. patent application no. 09/750,768, filed December 29, 2000, which is a continuation-in-part of U.S. patent application no. 09/585,049, filed June 1, 2000.

**19. CORRESPONDENCE ADDRESS**

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## PENNIE &amp; EDMONDS LLP

COUNSELLORS AT LAW  
 1155 Avenue of the Americas  
 New York, New York 10036-2711

ATTORNEY DOCKET NO. 10209-011

Date: June 24, 2003

Commissioner for Patents  
 P.O. Box 1450  
 Mail Stop PATENT APPLICATION  
 Alexandria, VA 22313-1450

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Waelbroeck et al. Executed on:

Title of Invention: CONFIDENTIAL BLOCK TRADING SYSTEM AND METHOD

## PATENT APPLICATION FEE VALUE

| TYPE         | NO. FILED | LESS | EXTRA   | EXTRA RATE       | FEE    |
|--------------|-----------|------|---|------------------|--------|
| Total Claims | 16        | - 20 | 0   | \$18.00 each     | \$ 0   |
| Independent  | 2         | - 3  | 0   | \$84.00 each     | \$ 0   |
|              |           |      | Minimum Fee   |                  | \$ 750 |
|              |           |      | Multiple Dependency Fee   |                  |        |
|              |           |      | If Applicable (\$280.00)  |                  | \$ 0   |
|              |           |      |   | Total            | \$ 750 |
|              |           |      | Applicant qualifies for the 50% Reduction for Independent Inventor,<br>Nonprofit Organization or Small Business Concern |                  | \$ 0   |
|              |           |      |   | Total Filing Fee | \$ 750 |

**DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

This application is a continuation-in-part of U.S. patent application no. 09/870,845, filed May 31, 2001, which is a continuation-in-part of U.S. patent application no. 09/750,768, filed December 29, 2000, which is a continuation-in-part of U.S. patent application no. 09/585,049, filed June 1, 2000..

The certified copy of the priority application has been filed in application no. filed on .

Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed on .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,

*Staen D. Underwood (47,205)* 24,615  
 for Francis E. Morris Reg No.  
 PENNIE & EDMONDS LLP

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.